



LBNL S&E Career-Track and Career Positions Promotion Process

At least 120 days before the end of the fifth year, the Division Staff Committee (DSC) must complete a final review of the work of the career-track scientist/engineer and recommend to the Division Director for or against promotion to a career appointment. The Division Director must inform the employee at least 90 days prior to their appointment end date whether or not the employee will be promoted to a career appointment.

The items marked by an asterisk (*) are mandatory in order to satisfy the promotional review requirements referred to in the RPM, Section 2.07, Professional Research Staff.

The timelines provided are for career-track promotions only. These guidelines are generally written for a 5-year career-track period and can be adjusted if earlier promotion is contemplated. If a Division is not ready to evaluate a career-track employee for promotion, the Division may request an exception to policy to extend the employee for an additional year (maximum 6 years) with the approval of the Chief HR Officer (CHRO) and the Deputy Lab Director. The request must be submitted at no later than 4.5 years into the employee's term appointment.

Allowable exception for postponing a promotional review (Only requires Division Director approval):

- If a career-track employee is on a one month or greater approved paid or unpaid leave of absence, their appointment may be extended by the length of the leave up to an additional one year beyond the five year maximum. The promotional review timeline may be adjusted accordingly.

There are no timelines for career to career promotions.

All listed supporting material may be found on the RPM web site, on the HR web site and from your [Division's HR Center](#).

The Scientist/Engineer Promotion Guidelines are applicable to incumbents in the following positions who are seeking a promotion to the next level:

- Career-Track Research Scientist/Engineer
- Career Research Scientist/Engineer
- Career-Track Staff Scientist/Engineer
- Career Staff Scientist/Engineer
- Career-Track Divisional Fellow
- Senior Scientist/Engineer
- Faculty Scientist/Engineer



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1. PREPARING PROMOTION REVIEW

DOCUMENTATION

applicable to all positions

HR Center – No later than 6 months (180 days) prior to the end of the employee's fifth year term limit

1. Notify supervisor, Division management, and Division Staff Committee (DSC) chair of upcoming promotional review.
 - If promotion requires Laboratory Staff Committee (LSC) review, contact HR Policies Analyst to schedule an LSC meeting. Provide estimated time when case will be ready for review.

(*) Division Director

Division Director will appoint promotion review committee with advice from Division Staff Committee. Members should be at or above level to which candidate is being considered for promotion. It is desirable to include members from outside the candidate's immediate work group. If candidate is performing interdisciplinary work with another division, a member from that division should be included as well.

(*) Supervisor/Division Director – Submit the case no later than 5 months (150 days) prior to the end of the employee's fifth year term limit

1. Update employee's position description.
2. Acquire from employee updated curriculum vitae (CV), current publications list, and description of research done at LBNL.
3. Solicit letters of recommendation.
4. Write employee evaluation. Include the following:
 - Employee's research focus
 - Employee's research goal(s)
 - Review of accomplishments and research progress
 - Statement recommending promotion or non-promotion.

If a Division is not ready to evaluate a career-track employee for promotion, the Division may request an exception to policy to extend the employee for an additional year with the approval of the Chief HR Officer (CHRO) and the Deputy Lab Director. The request must be submitted at no later than 4.5 years into the employee's term appointment.

HR Centers may submit the request for exception [here](#) or at the HR Policy website.

The annual performance review may not be used in place of the promotional review, nor vice versa. The annual performance review provides a 12-month perspective, whereas the promotional review considers accomplishments, potentially across several years, and eligibility for promotion. There may be some overlap of accomplishments, but the two reviews have different purposes.



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(*) Letters of Recommendation are Required
Recommended Number of Letters of
Recommendation by Job Classification

IMPORTANT: All solicited reference letters must be included in the package even if the total exceeds the number needed.

For Promotion into [Job Title]	External* (no less than)	Total
Career Research Scientist/Engineer	2	3
Career Staff Scientist/Engineer	4	5
Senior Scientist/Engineer	6	7
Faculty Senior Scientist/Engineer	6	7
Distinguished Scientist/Engineer	6	7

* External letters are from referees who are outside LBNL and outside the candidate's immediate UC-LBNL research group. The number of international letters required depends upon the field of research; if international letters are not included, provide an explanation for their absence. The majority of the letters should come from researchers who are not close colleagues, mentors or former advisors, and who can provide an objective evaluation of the candidate's achievements.

* For Engineering Division promotions to career Research Scientist/Engineer and Staff Scientist/Engineer levels, external letters are not generally required.

5. Prepare the promotional recommendation. The case must include the following documents in this order:
 - Supervisor's promotional evaluation
 - Employee description of LBNL research
 - Candidate's current curriculum vitae (CV) and publications list
 - Current position description
 - Sample reference letter solicitation
 - Statement of referees' titles, affiliations and expertise
 - Recent letters of reference, specific to the promotion under review.
 - Place letters in the same order as referees listed on the Statement of referees' titles, affiliations and expertise
6. Forward case for review to appropriate Division management (depending on Division review process).
7. Forward case to DSC.

Available Supporting Material:

- Position Description Form
- Supervisor Promotional Evaluation Summary
- Letter of Solicitation for Reference Letters
- Statement of Referees' Affiliations Template
- Email or Memo Requesting Employee Description of LBNL Research Template



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2. DIVISION STAFF COMMITTEE (DSC) REVIEW

applicable to all positions

(*) Division Staff Committee – must complete its review and submit its report to the Division Director no later than 4.5 months (135 days) prior to the end of the employee's fifth year term limit

1. Evaluate employee's promotional review documentation.
 1. Review accomplishments and research progress
 2. Determine employee's readiness for promotion

(*) Division Staff Committee Chair

1. Prepare DSC assessment summary (DSC Chair Memo template)
2. Forward case to Division Director

Available Supporting Materials:

- DSC Chair Memo Template

3. DIVISION DIRECTOR REVIEW AND APPROVAL

applicable to all positions

(*) Division Director

1. Evaluate employee's promotional review documentation.
 - Review accomplishments and research progress
 - Evaluate supervisor's assessment
 - Evaluate DSC's assessment

If promotion is approved:

2. Sign approval on DSC Chair Cover Memo.

If promotion to	Notify DSC Chair, Manager and Human Resources of Status and go to
Research Scientist/Engineer – Career	Step 6 Human Resources Process , page 7
Staff Scientist/Engineer – Career-Track	Step 6 Human Resources Process , page 7
Staff Scientist/Engineer – Career	Step 4 Deputy Lab Director and Laboratory Director Review , page 6
Senior Scientist/Engineer – Career	Step 5 Lab Staff Committee (LSC), Deputy Lab Director, and Laboratory Director Review , page 5
Faculty Senior Scientist/Engineer	Step 5 Lab Staff Committee (LSC), Deputy Lab Director, and Laboratory Director Review , page 5



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(*) Division Director (or Designee) and Supervisor

If promotion is not approved:

3. Notify DSC Chair, supervisor, and HR Center of outcome.
4. Meet with employee.
 - For career-track employee, provide written notice of appointment termination no later than 90 days (3 months) prior to the end of the appointment.
 - HR Center provides Division Director with appointment termination letter.
 - For career employee, discuss strengths and areas needing further work and development including areas for more training or experience.

If there is less than 90 days notice prior to the end of the employee's appointment, Divisions may, with Division Director's approval, either (1) provide salary in lieu of notice or (2) extend the appointment to provide a 90 day notice period.

Available Supporting Materials:

- Division Director Memo to Deputy Director Template
- Termination of Term Appointment Template [HR only]

4. DEPUTY LAB DIRECTOR AND LABORATORY DIRECTOR REVIEW

for Staff Scientist/Engineer Career promotions

(*) Division Director

1. Prepare memo to Deputy Lab Director recommending the promotion action.
2. In conjunction with the HR Center, forward case to the Deputy Lab Director and Laboratory Director for approval. Include the following documents with the case:
 - Hire request form with salary justification
 - Market Reference Zone plot
 - Salary offer worksheet with Lab-wide peer comparators

HR CENTER must follow the [Soliciting Approval of Scientist & Engineer Cases from the Lab Directorate](#) flow chart.

(*) Deputy Lab Director and Laboratory Director

1. Review the Division's recommendation for promotion.
2. Communicate outcome of review.

(*) Division Director (or Designee) and Supervisor

If promotion is approved:

1. Notify DSC Chair, supervisor, and HR Center of outcome. Skip to Step 6.

If promotion is not approved:

2. Notify DSC Chair, supervisor, and HR Center of outcome.
3. Meet with employee.

If there is less than 90 days notice prior to the end of the employee's appointment, Divisions may, with Division Director's approval, either (1) provide salary in lieu of notice or (2) extend the appointment to provide a 90 day notice period.



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- For career-track employee, provide written notice of appointment termination no later than 90 days (3 months) prior to the end of the appointment.
 - HR Center provides Division Director with appointment termination letter.
- For career employee, discuss strengths and areas needing further work and development including areas for more training or experience.

5. LAB STAFF COMMITTEE (LSC), DEPUTY LAB DIRECTOR, AND LABORATORY DIRECTOR REVIEW

for Senior Scientist/Engineer and Faculty Senior Scientist/Engineer promotions

(* Division Director

1. Prepare memo to Deputy Lab Director recommending the promotion action.

(* Human Resources Center

1. Forward case to the HR Policies Analyst for review by the Lab Staff Committee (LSC).
2. Works with Division Director to determine proposed salary if promotion is approved.

(* Laboratory Staff Committee

1. Review the promotion case.

(* LSC Chair

1. Communicate recommendation for promotion or non-promotion to Laboratory Director or Deputy Director.

HR CENTER must follow the [Soliciting Approval of Scientist & Engineer Cases from the Lab Directorate](#) flow chart.

(* Human Resources Policies Analyst

1. Notifies HR Center to forward case with salary information to the Deputy Lab Director and Laboratory Director.

(* Division Director

1. In conjunction with the HR Center, forward case to the Deputy Lab Director and Laboratory Director for approval. Include the following documents with the case:
 - Hire request form with salary justification
 - Market Reference Zone plot
 - Salary offer worksheet with Lab-wide peer comparators

(* Deputy Lab Director and Laboratory Director

1. Review the LSC's recommendation.
2. Communicate approval (or non-approval) to Division Director.
3. Send Laboratory Director's appointment letter to applicant (cc: Division Director, HR Center and HR Policies Analyst).

(* Division Director (or Designee) and Supervisor

If promotion is approved:

1. Notify DSC Chair, supervisor, and HR Center of outcome. Skip to Step 6.



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If promotion is not approved:

1. Notify DSC Chair, supervisor, and HR Center of outcome.
2. Meet with employee.
 - For career-track employee, provide written notice of appointment termination no later than 90 days (3 months) prior to the end of the appointment.
 - HR Center provides Division Director with appointment termination letter.
 - For career employee, discuss strengths and areas needing further work and development including areas for more training or experience.

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6. HUMAN RESOURCES PROCESS

applicable for all positions

HR Center

1. Solicit Compensation approval (if required).
2. Prepare Change of Status letter.
3. Prepare Personnel Action Form (ePAF).

If there is approval to promote and total compensation (including base pay, stipend, and sign-on bonus if applicable) is equal to or above \$205k:

4. Work with Compensation to prepare the case for UC Regents' approval and to determine timeline.
5. Inform Division Director and supervisor of case timeline.
6. Obtain UC Regents' approval in conjunction with Compensation

(*) Division Director (or Designee) with supervisor – No later than 4 months (120 days) before appointment end date.

1. Communicate status of action to employee.

Available Supporting Materials:

- Change of Status Template [HR]
- UC Regents' Compensation Approval Confirmation Letter [HR]

NOTE: The annual performance review may not be used in place of the promotional review, nor vice versa. The annual performance review provides a 12-month perspective, whereas the promotional review considers accomplishments, potentially across several years, and eligibility for promotion. There may be some overlap of accomplishments, but the two reviews have different purposes.

7. RECORDKEEPING

HR Center to maintain a signed copy of the promotional review.